



Lawrence Berkeley National Laboratory

LBNL File No. _____
Date Received: _____

Record of Invention Form

This invention was made in the course of or under prime contract No. DE-AC02-05CH11231 between the U.S. Department of Energy and the University of California. This Form is prepared for the Technology Transfer and Intellectual Property Management - Patent Group at LBNL and the U.S. Department of Energy.

Instructions:

- Please fill in the form electronically, print the form and sign it. Feel free to save a copy of the completed form.
- Inter-Office Mail the completed and signed ROI Form to LBNL Patent Group, Mail Stop 56A-0120.
- Telephone ext. 7058 if you have questions regarding this form.

Title of Invention:

☐ This invention is covered under JBEI.

Contributor(s):

Please list names of those who contributed to the inventive thought and to the final result of the invention.

If a patent application is filed, the Patent Department will make a legal determination of inventorship.

Note: the legal standards for inventorship are different than the standards used for authorship.

Full Name	Title/Position	Employer	Division	Mail Stop (Full work address if non-LBNL)	Tel.	E-Mail

Citizen / Residence Address:

Full Name	Citizenship	Residence Address (no P.O. Boxes)	City, State, and Zip Code	Home Phone / Email Address (Optional)

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IMPORTANT: The applicable funding source information must be filled in. **PLEASE** list **EACH** and **ALL** funding sources which were used during the development of this invention:

LBNL Project ID ¹	B&R Code ²	Funding Type (e.g., CRADA, WFO, Subcontract, etc.) ³	Funding Source (Agency or Sponsor, incl. CRADA or WFO Participant) ⁴	(For Non-DOE) Agreement No., Grant No., or Subcontract No. ⁵	Principal Investigator	Agency Program Mgr. (or Sponsor Contact Person)

Future funding:

☐ Future funding is currently likely or expected

From what source do you reasonably expect future (e.g. continuing) funding?

Source: _____

Is this ☐ continuing funding or ☐ new funding?

☐ No future funding is currently expected.

¹Where effort and materials were charged.

²B & R code is mandatory for any invention that involved a Lab facility or use of any gift, grant or contract research funds through LBNL (see your Division Office for appropriate B&R code).

³Please list agreement or funding type: i.e., CRADA, Work for Others (WFO), DOE or Non-DOE, or Subcontract.

⁴List Name of funding organization.

⁵Call Grant Specialist if you don't know the Grant Number(s).

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HYPOTHESIS/CONCEPTION (List Dates, Locations):

What is the earliest documentation of your invention?

Please provide dates, and identify the document(s) and notebook(s) by page(s) for:

First sketch or drawing:

First written description:

Names of witnesses or others with knowledge of facts relating to conception, e.g., who cosigned relevant notebooks:

ACTUAL PERFORMANCE OF INVENTION / REDUCTION TO PRACTICE

(Note: it is **not necessary** to have actually performed the invention before you turn in this form)

Date first model completed: _____ Date of operation and testing: _____

Place of test: _____ Results of testing: _____

Witnesses or others with direct knowledge of test:

USE OF OUTSIDE OR PROPRIETARY MATERIAL

Was any outside or proprietary material used to develop your invention? (e.g., software code, cell line, antibody, DNA fragments, or chemical compound)?

☐ Yes ☐ No

Do you think another individual or institution *may* have rights to this invention?

☐ Yes ☐ No

If yes to either of these questions, please describe, and list how you came to have that material or why you believe another entity may have rights.

DESCRIPTION:**Background of the Invention**

Please summarize (attach extra pages if needed):

- 1) Why are you working on this subject matter?
- 2) What were you hoping to achieve?
- 3) How do people currently address the problem your invention is directed to?

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Summary of the Invention

Please provide a written summary and include a sketch of the invention if possible (you may attach extra pages or send an electronic version):

- 1) Does your invention allow people to do something that could not be done before?
- 2) Does your invention provide a new way of achieving a known result? If so, does it allow the result to be obtained more productively or more efficiently?
- 3) What technical problems or assumptions were overcome to make the invention?

Potential uses of the invention

What industry could use the invention (research, commercial manufacturing, educational facilities, pilot plants, etc.)? Think broadly and not pessimistically. Please identify companies that might be interested in licensing this technology.

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PUBLIC DISCLOSURES

Disclosures include public presentations/talks, posters, journal articles, LBNL reports, meeting abstracts, text book passages or prior patents/applications that actually describe or relate to the invention.

Past Disclosures (NOTE: this form should be filled out in advance of any public disclosure):

Title / Subject	Publication Date	Indicate "Describes" or "Relates" to invention	Journal and/or LBNL Rep No. if prior LBNL pat. app., IB#
		<input type="checkbox"/> Describes <input type="checkbox"/> Relates	
		<input type="checkbox"/> Describes <input type="checkbox"/> Relates	
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		<input type="checkbox"/> Describes <input type="checkbox"/> Relates	

Upcoming Disclosures

Papers you have **submitted** or are **preparing** for publication that describe or relate to your invention:

Title / Subject	Publication Date	Indicate "Describes" or "Relates" to invention	Journal and/or LBNL Rep No. if prior LBNL pat. app., IB#
		<input type="checkbox"/> Describes <input type="checkbox"/> Relates	
		<input type="checkbox"/> Describes <input type="checkbox"/> Relates	
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Document Submission for Reporting Purposes

Have you submitted your (already disclosed or pending disclosure) document to the Library for reposting purposes?

☐ Yes ☐ No

Submission to the LBNL Library is a requirement in addition to that of reporting inventions. For Library submission information see the link at: <http://www-teid.LBNL.gov/teid/tmRco/forms/RcoDocSubmit.htm>

You may also contact the LBNL Reports Coordinator at (x6504).

Please notify the LBNL Patent Group. (x7058) immediately if you later plan a public disclosure that describes or relates to the invention beyond any listed above.

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I believe myself to have contributed to be the above-described invention. (Each contributor must sign.)

Contributor: _____ Date: _____

Witness: _____ Date: _____

Contributor: _____ Date: _____

Witness: _____ Date: _____

Contributor: _____ Date: _____

Witness: _____ Date: _____

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Contributor: _____ Date: _____

Witness: _____ Date: _____

Read and Understood by:

_____ Date: _____

LBNL Patent Group Reviewer